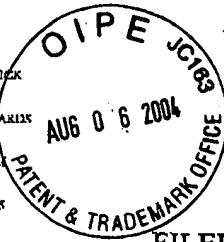


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PATENT APPLICATION  
Docket No: 15436.437.5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Werner, et al.

Serial No.: 10/028,439

Confirmation No.: 4439

Filed: December 28, 2001

For: INTEGRAL VERTICAL CAVITY  
SURFACE EMITTING LASER AND  
POWER MONITOR

Examiner:                      Dung T. Nguyen

**Mail Stop AMENDMENT**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450**

Sir:

Transmitted herewith are Amendment "B", a Request for Continued Examination, and a Petition for One-Month Extension of Time for entry in the above-identified application.



R. PARUSH FREEMAN, JR.  
PETER F. MALLEN, JR.  
L. REX SEARS, JR., D.  
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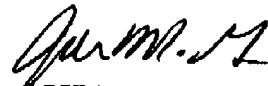
The fee has been calculated as follows.

|                                                             |                                       |                  | SMALL ENTITY |             | LARGE ENTITY |                |
|-------------------------------------------------------------|---------------------------------------|------------------|--------------|-------------|--------------|----------------|
| CLAIMS<br>REMAINING<br>AFTER                                | HIGHEST NO.<br>PREVIOUSLY<br>PAID FOR | PRESENT<br>EXTRA | RATE         | ADD'T'L FEE | RATE         | ADD'T'L<br>FEE |
| Total = 24                                                  | 23                                    | = 0              | x 9          |             | X 18         | 18             |
| Independent = 4                                             | 3                                     | = 0              | x 43         |             | X 86         | 86             |
| 1 <sup>st</sup> PRESENTATION OF MULTIPLE<br>DEPENDENT CLAIM |                                       |                  | =            |             | +12          | 0              |
|                                                             |                                       |                  | TOTAL        |             | TOTAL        | \$104          |

- ☒ Form PTO-2038 in the amount of \$984 is included for payment of the fee for one-month extension of time, extra claims and for the RCE.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-3178.
- ☒ Any filing fees under 37 CFR 1.16 for the presentation of extra claims.
- ☒ Any patent application processing fees under 37 CFR 1.17.

Dated this 6<sup>th</sup> day of August 2004.

Respectfully submitted,



JOHN M. GYNN  
Registration No. 36,153  
Attorneys for Applicant  
Customer No. 022913

JMG:mia  
MLA0000002052 V001



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Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

# REQUEST FOR CONTINUED EXAMINATION (RCE) TRANSMITTAL

Address to:  
Mail Stop RCE  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

|                        |                   |
|------------------------|-------------------|
| Application Number     | 10/028,439        |
| Filing Date            | December 28, 2001 |
| First Named Inventor   | Werner            |
| Art Unit               | 2828              |
| Examiner Name          | Dung T. Nguyen    |
| Attorney Docket Number | 15436.437.5       |

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application. Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

## 1. Submission required under 37 CFR 1.114

Note: If the RCE is proper, any previously filed unentered and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such

- a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.
- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on \_\_\_\_\_
- ii. ☐ Other \_\_\_\_\_

## b. ☒ Enclosed

- i. ☒ Amendment/Reply
- ii. ☐ Affidavit(s)/Declaration(s)
- iii. ☐ Information Disclosure Statement (IDS)
- iv. ☐ Other \_\_\_\_\_

## 2. Miscellaneous

- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of \_\_\_\_\_ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- b. ☐ Other \_\_\_\_\_

## 3. Fees

The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.

- a. ☒ The Director is hereby authorized to charge the following fees, or credit any overpayments, to Deposit Account No. 23-3178
- i. ☒ RCE fee required under 37 CFR 1.17(e)
- ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☐ Other \_\_\_\_\_
- b. ☐ Check in the amount of \$ \_\_\_\_\_ enclosed
- c. ☒ Payment by credit card (Form PTO-2038 enclosed)

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

|                   |               |                                   |                |
|-------------------|---------------|-----------------------------------|----------------|
| Name (Print/Type) | John M. Guynn | Registration No. (Attorney/Agent) | 36,153         |
| Signature         |               | Date                              | August 6, 2004 |

## CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.

|                   |               |      |                |
|-------------------|---------------|------|----------------|
| Name (Print/Type) | John M. Guynn | Date | August 6, 2004 |
| Signature         |               |      |                |

This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.114. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing the burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-3100.

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Docket No. 15436.437.5

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Examiner:

Dung T. Nguyen

Customer No.:

022913

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AMENDMENT "B"Mail Stop AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the final rejection of April 9, 2004, and concurrent with the filing of a Request for Continued Examination, please amend the above-identified application as follows:

**Amendments to the Specification** begin on page 2 of this paper.

**Amendments to the Claims** are reflected in the listing of claims which begins on page 4 of this paper.

**Amendments to the Drawings** begin on page 9 of this paper and include both an attached replacement sheet and an annotated sheet showing changes.

**Remarks** begin on page 10 of this paper.

An **Appendix** including amended drawing figures is attached following page 13 of this paper.